

PATENTS
Attorney Docket No. CF-55

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Carlton Bartels et al.
Application No. : 09/967,272 Confirmation No. : 6788
Filed : September 28, 2001
For : ELECTRONIC TRADING SYSTEM FOR SIMULATING
THE TRADING OF CARBON DIOXIDE EQUIVALENT
EMISSION REDUCTIONS AND METHODS OF USE
Group Art Unit : 3624
Examiner : Sandra S. Snapp

New York, New York 10020
March 9, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

TRANSMITTAL LETTER FOR SUPPLEMENTAL
INFORMATION DISCLOSURE STATEMENT

RECEIVED

MAR 16 2004

GROUP 3600

Sir:

Transmitted herewith is a Supplemental Information Disclosure Statement in the above-identified application. This Statement is submitted more than three months from the application filing date and after the mailing date of the first Office Action on the merits, but before the mailing date of

Express Mail No.
EV079960404US

either a final action under 37 C.F.R. § 1.113, or a notice of allowance under 37 C.F.R. § 1.311.

In accordance with 37 C.F.R. § 1.97, this Statement is accompanied by a check in the amount of \$180.00 in payment of the fee set forth in 37 C.F.R. § 1.17(p). The Director is hereby authorized to charge payment of any additional fees required in connection with this Statement, or credit any overpayment of the same, to Deposit Account No. 06-1075. A duplicate copy of this letter is transmitted herewith.

Respectfully submitted,

Laura A. Sheridan

Laura A. Sheridan
Registration No. 48,446
Agent for Applicants
FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000
Fax : (212) 596-9090



PATENTS
Attorney Docket No. CF-55

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT APPLICATION

Applicants : Carlton Bartels et al.
Application No. : 09/967,272 Confirmation No. : 6788
Filed : September 28, 2001
For : ELECTRONIC TRADING SYSTEM FOR SIMULATING
THE TRADING OF CARBON DIOXIDE EQUIVALENT
EMISSION REDUCTIONS AND METHODS OF USE
Group Art Unit : 3624
Examiner : Sandra S. Snapp

RECEIVED

MAR 18 2004

GROUP 3600

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants wish to call the attention of the Examiner to the
following documents:

U.S. Patent Document

Adamson et al. 2001/0032168 (10/18/2001)

Other Documents

"The world's first markets for trading emissions
credits . . . ," Dow Jones Business News, October 17, 2000.

03/12/2004 SDENBOB1 00000105 09967272

01 FC:1806

180.00 OP

Express Mail No.
EV079960404US

"Cantor Fitzgerald and PricewaterhouseCoopers to Create Global Hub of Carbon Commerce: Market to be Powered by B2B Leader, eSpeed," Business Wire, October 17, 2000.

"Cantor Fitzgerald and PricewaterhouseCoopers to Create Global Hub of Carbon Commerce: Market to be Powered by B2B Leader, eSpeed," Press Release, October 17, 2000.

John J. Fialka, "New Emission-Credits Market Is Expected To Resemble Fast Commodity Exchange," The Wall Street Journal, October 17, 2000.

"EU Introduces 10-Year Environment Plan," Reuters, October 17, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.

"Cantor Fitzgerald, PWC Join on GHG Trading," Business Wire, October 17, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.

Jason T. Cone, "Trading greenhouse gas emissions goes online," Earth Times News Service, October 18, 2000.

"Want to Trade in Carbon Emission Credits? CO2e.com Is the Answer!", EarthDot, October 18, 2000.

"Emissions Trading Site Launched; CO2e.com: Brief Article," Energy Intelligence Group, October 18, 2000.

Andrew C. Revkin, "7 Companies Agree to Cut Gas Emissions," The New York Times, October 18, 2000.

"Cantor and PricewaterhouseCoopers Develop On-line Greenhouse Market," The Oil Daily, October 20, 2000.

"Cantor and PricewaterhouseCoopers Develop On-line Greenhouse Market," Utility Environment Report, October 20, 2000.

"CSU Study to Examine Carbon Sequestration," CSU-Chico Release, October 23, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.

"CO2 May Cause Ragweed to Increase," M2 Communications, EIN Publishing, October 24, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.

"CO2e.com - The Global Hub for Carbon Commerce," Environmental Finance Supplement, October 2000.

Cheryl A. McMullen, "Web site fosters emissions trading," Waste News, November 6, 2000.

Janet Ginsburg, "Letting the Free Market Clear the Air," Waste News, November 6, 2000.

Eric Sorenson, "Washington State Researchers Monitor Forests to Help Save Environment," The Seattle Times, November 13, 2000.

"CO2e.com, the Global Hub for Carbon Commerce, Goes Live at COP6 Climate Conference," Business Week, November 14, 2000.

Vanessa Houlder, "Business sees green controls as a prospect, not just a cost," Financial Times, November 18, 2000.

"BT Moves to Halt Brain Drain," The Sunday Telegraph, November 18, 2000.

Mary Fagan, "PwC to launch online CO2 exchange," Electronic Telegraph, November 19, 2000.

Michael Harrison, "Row Mars Launch of Online Market for Trading Greenhouse Gas 'Permits'," The Sunday Telegraph (London), November 19, 2000.

"PwC/Greenhouse gases ING Group," The Sunday Telegraph, November 19, 2000.

Mary Fagan, "PwC to launch online CO² exchange," The Sunday Telegraph, November 19, 2000.

"Greenhouse emissions trading site opens on internet," Platt's Commodity News, November 20, 2000.

Michael Harrison, "Row mars launch of online market," The Independent, November 20, 2000.

"What the Sunday Business Papers Said," The Independent (London), November 20, 2000.

Steve Levine, "Ex-Soviet States See Gold In Emission Quotas," Wall Street Journal Europe, November 20, 2000.

"PwC launches internet emissions trading bourse," Reuters, November 20, 2000.

"Global Marketplace for Carbon Commerce Opens for Business," Press Release, November 20, 2000.

"CO2e.com Announces the Completion of Two Significant Trades," Press Release, November 20, 2000.

Steve Levine, "Decline in Industry Proves Profitable for Soviet Plants," Wall Street Journal, November 21, 2000.

"Consultants PricewaterhouseCoopers and financial brokers Cantor Fitzgerald have launched a global Internet exchange for trading greenhouse gas emissions," ZD Net Australia, November 21, 2000.

"Ontario Power Generation buys carbon credits," Megawatt Daily, November 21, 2000.

"Canadian group agrees to CO2 reduction deal," Megawatt Daily, November 21, 2000.

Yasmin D. Arquiza, "Meet tackles effect of climate change on environment," Business World (Philippines), November 22, 2000.

Simon Mann, "Pollution traders ready to clean up," The Sydney Morning Herald, November 23, 2000.

Simon Mann, "Business - Clearing the air on trade in CO2," The Age, November 23, 2000.

"Estonia could earn billions with greenhouse gases," Estonian News Agency, November 23, 2000.

"PwC reveals CO2.com exchange," Accountancy Age website, November 23, 2000.

"Houston: we have carbon trading," Utility Week, November 24, 2000.

Nick Hordern, "Global warming: the greens have the numbers," Financial Review (UK), November 25, 2000.

Nick Hordern, "Industry breathes easier, for now," Australian Financial Review, November 27, 2000.

"Petro Source Logs CO2 Trades," The Oil Daily Co., November 27, 2000.

"Online trading - emissions," European Chemical News, November 27, 2000.

Wade O'Leary, "Online greenies - Bottom of the Harbour," The Daily Telegraph, November 27, 2000.

"E-exchanges continue to trade pollution allowances," <http://www.silicon.com>, November 28, 2000.

"Global law firm Baker & McKenzie . . . ," AAP News Feed, November 28, 2000.

Caspar Henderson, "An exchange in climate," Director, January 2001.

"EU maps out CO₂ strategy," Steel Times, March 2001.

Roger Milne, "UK and Denmark mull carbon trade linkage," Reed Business Information (UK), May 4, 2001.

Cait Murphy, "First/Opinion/Slings and Arrows - Kyoto is Bush-Whacked - That's okay," Fortune, May 14, 2001.

Robin Lancaster, "Carbon goes dotcom," Energy Power Risk Management, May 2001.

Germana Canzi, "Greenhouse Gas Mkt Set to Double in 2001," Dow Jones Newswires, July 20, 2001.

Paul Brown, "UK may take lead in carbon trading," Guardian, July 24, 2001.

Vanessa Houlder, "Carbon trading plans may be hampered by the politics of pollution," Financial Times, August 14, 2001.

Laurent Belsie, "Firms climb toward 'climate neutral' Boldest bids to cut emissions now being led by some big polluters of yore," Christian Science Monitor, August 20, 2001.

"Greenhouse Gas Trading Simulations an Essential Tool," Carbon Monitor, Volume 6, Issue 9, September 2001.

"The Climate for Business is Changing," Environmental Finance Supplement, October 2001.

Ron Feemster, "Don't like emissions? Trade 'em under Kyoto," undated.

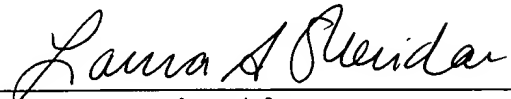
Copies of the aforementioned documents, which are listed on the accompanying form PTO-1449 (submitted in duplicate), are enclosed herewith.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

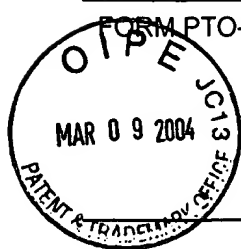
It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during the examination of this application; and (2) printed on any patent that may issue on this application. Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

Consideration of the foregoing in relation to this
patent application is respectfully requested.

Respectfully submitted,



Laura A. Sheridan
Registration No. 48,446
Agent for Applicants
FISH & NEAVE
Customer No. 1473
1251 Avenue of the Americas
New York, New York 10020-1105
Tel.: (212) 596-9000
Fax : (212) 596-9090



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF-55APPLICATION NO.
09/967,272SUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANTSAPPLICANTS
Carlton Bartels et al.CONFIRMATION NO.
6788FILING DATE
September 28, 2001GROUP ART UNIT
3624

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2001/0032168	10/18/2001	Adamson et al.	705	37	

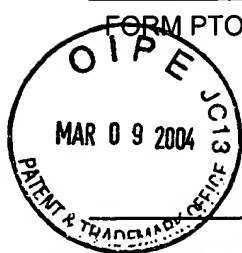
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	"The world's first markets for trading emissions credits . . .," Dow Jones Business News, October 17, 2000.
	"Cantor Fitzgerald and PricewaterhouseCoopers to Create Global Hub of Carbon Commerce: Market to be Powered by B2B Leader, eSpeed," Business Wire, October 17, 2000.
	"Cantor Fitzgerald and PricewaterhouseCoopers to Create Global Hub of Carbon Commerce: Market to be Powered by B2B Leader, eSpeed," Press Release, October 17, 2000.
	John J. Fialka, "New Emission-Credits Market Is Expected To Resemble Fast Commodity Exchange," The Wall Street Journal, October 17, 2000.
	"EU Introduces 10-Year Environment Plan," Reuters, October 17, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.
	"Cantor Fitzgerald, PWC Join on GHG Trading," Business Wire, October 17, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.
	Jason T. Cone, "Trading greenhouse gas emissions goes online," Earth Times News Service, October 18, 2000.
	"Want to Trade in Carbon Emission Credits? CO2e.com Is the Answer!", EarthDot, October 18, 2000.
	"Emissions Trading Site Launched; CO2e.com: Brief Article," Energy Intelligence Group, October 18, 2000.
	Andrew C. Revkin, "7 Companies Agree to Cut Gas Emissions," The New York Times, October 18, 2000.
	"Cantor and PricewaterhouseCoopers Develop On-line Greenhouse Market," The Oil Daily, October 20, 2000.
	"Cantor and PricewaterhouseCoopers Develop On-line Greenhouse Market," Utility Environment Report, October 20, 2000.
	"CSU Study to Examine Carbon Sequestration," CSU-Chico Release, October 23, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.



FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICESUPPLEMENTAL
INFORMATION DISCLOSURE
STATEMENT BY APPLICANTSATTY. DOCKET NO.
CF-55APPLICANTS
Carlton Bartels et al.FILING DATE
September 28, 2001APPLICATION NO.
09/967,272CONFIRMATION NO.
6788GROUP ART UNIT
3624

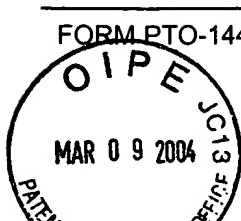
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	"CO2 May Cause Ragweed to Increase," M2 Communications, EIN Publishing, October 24, 2000 as published by EIN Publishing Daily Newsletter "Global Warming Today," dated October 26, 2000.
	"CO2e.com – The Global Hub for Carbon Commerce," Environmental Finance Supplement, October 2000.
	Cheryl A. McMullen, "Web site fosters emissions trading," Waste News, November 6, 2000.
	Janet Ginsburg, "Letting the Free Market Clear the Air," Waste News, November 6, 2000.
	Eric Sorenson, "Washington State Researchers Monitor Forests to Help Save Environment," The Seattle Times, November 13, 2000.
	"CO2e.com, the Global Hub for Carbon Commerce, Goes Live at COP6 Climate Conference," Business Week, November 14, 2000.
	Vanessa Houlder, "Business sees green controls as a prospect, not just a cost," Financial Times, November 18, 2000.
	"BT Moves to Halt Brain Drain," The Sunday Telegraph, November 18, 2000.
	Mary Fagan, "PwC to launch online CO2 exchange," Electronic Telegraph, November 19, 2000.
	Michael Harrison, "Row Mars Launch of Online Market for Trading Greenhouse Gas 'Permits'," The Sunday Telegraph (London), November 19, 2000.
	"PwC/Greenhouse gases ING Group," The Sunday Telegraph, November 19, 2000.
	Mary Fagan, "PwC to launch online CO ² exchange," The Sunday Telegraph, November 19, 2000.
	"Greenhouse emissions trading site opens on internet," Platt's Commodity News, November 20, 2000.
	Michael Harrison, "Row mars launch of online market," The Independent, November 20, 2000.
	"What the Sunday Business Papers Said," The Independent (London), November 20, 2000.
	Steve Levine, "Ex-Soviet States See Gold In Emission Quotas," Wall Street Journal Europe, November 20, 2000.
	"PwC launches internet emissions trading bourse," Reuters, November 20, 2000.
	"Global Marketplace for Carbon Commerce Opens for Business," Press Release, November 20, 2000.
	"CO2e.com Announces the Completion of Two Significant Trades," Press Release, November 20, 2000.
	Steve Levine, "Decline in Industry Proves Profitable for Soviet Plants," Wall Street Journal, November 21, 2000.
	"Consultants PricewaterhouseCoopers and financial brokers Cantor Fitzgerald have launched a global Internet exchange for trading greenhouse gas emissions," ZD Net Australia, November 21, 2000.
	"Ontario Power Generation buys carbon credits," Megawatt Daily, November 21, 2000.
	"Canadian group agrees to CO2 reduction deal," Megawatt Daily, November 21, 2000.

EXAMINER .

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.

	FORM PTO-1449	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO. CF-55	APPLICATION NO. 09/967,272
	SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANTS		APPLICANTS Carlton Bartels et al.	CONFIRMATION NO. 6788
			FILING DATE September 28, 2001	GROUP ART UNIT 3624

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

EXAMINER INITIAL	
	Yasmin D. Arquiza, "Meet tackles effect of climate change on environment," Business World (Philippines), November 22, 2000.
	Simon Mann, "Pollution traders ready to clean up," The Sydney Morning Herald, November 23, 2000.
	Simon Mann, "Business – Clearing the air on trade in CO2," The Age, November 23, 2000.
	"Estonia could earn billions with greenhouse gases," Estonian News Agency, November 23, 2000.
	"PwC reveals CO2.com exchange," Accountancy Age website, November 23, 2000.
	"Houston: we have carbon trading," Utility Week, November 24, 2000.
	Nick Hordern, "Global warming: the greens have the numbers," Financial Review (UK), November 25, 2000.
	Nick Hordern, "Industry breathes easier, for now," Australian Financial Review, November 27, 2000.
	"Petro Source Logs CO2 Trades," The Oil Daily Co., November 27, 2000.
	"Online trading – emissions," European Chemical News, November 27, 2000.
	Wade O'Leary, "Online greenies – Bottom of the Harbour," The Daily Telegraph, November 27, 2000.
	"E-exchanges continue to trade pollution allowances," http://www.silicon.com , November 28, 2000.
	"Global law firm Baker & McKenzie . . .," AAP News Feed, November 28, 2000.
	Caspar Henderson, "An exchange in climate," Director, January 2001.
	"EU maps out CO ₂ strategy," Steel Times, March 2001.
	Roger Milne, "UK and Denmark mull carbon trade linkage," Reed Business Information (UK), May 4, 2001.
	Cait Murphy, "First/Opinion/Slings and Arrows – Kyoto is Bush-Whacked – That's okay," Fortune, May 14, 2001.
	Robin Lancaster, "Carbon goes dotcom," Energy Power Risk Management, May 2001.
	Germana Canzi, "Greenhouse Gas Mkt Set to Double in 2001," Dow Jones Newswires, July 20, 2001.
	Paul Brown, "UK may take lead in carbon trading," Guardian, July 24, 2001.
	Vanessa Houlder, "Carbon trading plans may be hampered by the politics of pollution," Financial Times, August 14, 2001.
	Laurent Belsie, "Firms climb toward 'climate neutral' Boldest bids to cut emissions now being led by some big polluters of yore," Christian Science Monitor, August 20, 2001.
	"Greenhouse Gas Trading Simulations an Essential Tool," Carbon Monitor, Volume 6, Issue 9, September 2001.
	"The Climate for Business is Changing," Environmental Finance Supplement, October 2001.
	Ron Feemster, "Don't like emissions? Trade 'em under Kyoto," undated.

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicants.